

Part 14 - Electronic Records

This schedule covers machine-readable records and the related documentation required to service this form of records. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which made them easy to modify and update. This contributes to the notion that such records are temporary or nonrecord material, as opposed to textual records containing equivalent information. Federal status and regulations define Federal records as the products of Government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms, including computer output microform (COM), various factors bear on the decisions of which medium should be retained for archival purposes. Among these factors are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which most hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

Data on magnetic tape, disc packs, magnetic drums, and punch cards are covered in this schedule. This schedule should also be applied to new media such as optical disk.

Machine-readable records differ from records on other media in four important ways:

- 1) The machine-readable media on which they are most often recorded are erasable and reusable. This introduces a cost-effectiveness factor absent in other media.
- 2) Because of the fragile nature of the magnetic media on which most machine-readable records are recorded it is mandatory that such records be brought under control as early as possible in their life cycle. Ideally, control should be exercised at the time a system is created, even before it has generated records.
- 3) The case of updating, revising, or reusing machine-readable records may cause the life cycle to be brief and more complex than that of other records. While master files are the form in which machine-readable records are retained for archival appraisal, other versions are occasionally more suitable because they contain more complete information than related files or because they are particularly relevant to agency policy, decisions, or special reports.
- 4) Because machine-readable records must be subjected to electronic processing and decoding to be converted to human-readable information, the records revealing such processes must be scheduled with the machine-readable records. These records are called "documentation" and are usually found in textual form.

The qualities that separate machine-readable records from those on other media make it difficult to produce for them a subject-oriented general schedule analogous in form to other general schedules. Thus, this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are

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common to most ADP systems. It is divided into three parts:

Master files (Part I) constitute the definitive state of a file in a system at a given time. Such files are categorized herein only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the informational value of a file.

Processing files (Part II) are those machine-readable files, aside from master files, which comprise the life cycle of most computerized records prior to the production of a given master file. Processing files—from work files and input/source files to some valid transaction files—are employed to create and use as a master file. They are presented here separately from master files for the sake of clarity and because they generally do not qualify for long-term retention. Those files for which disposal is not authorized are so treated because they qualify for long-term retention. Those files for which disposal is not authorized are so treated because they may contain more complete information than the related master file or be especially relevant to Department policy, decisions, or special reports—adequate reasons for initiating archival appraisal. The proper scheduling of processing files can increase the availability of space on machine-readable media and agency expenditures for stocks of magnetic media.

Documentation (Part III) covers those records required for servicing machine-readable records for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. As might be expected, the disposition of documentation is linked to the disposition of the related machine-readable files.

“Data automation planning and operational records” are no longer included in this schedule. They are textual records and relate to the Department’s planning, procurement, and operational processes. Thus, they may be scheduled by reference to other appropriate schedules.

It should be emphasized that machine-readable records that do not fit categories listed in this schedule are not authorized automatically for disposal. Disposition of such records should be authorized by submission of a description to the Department’s Records Officer for a records disposition authority.

The following schedules are for files created for and by the Department of Education as a result of educational research and development activities.

Research and development is accomplished by Department personnel and by private commercial or research organizations whose services are rendered through contracts and grants. Whenever a contractor or grantee is used, the contractor grantee is required to furnish the results of the research to the Department in the form of technical reports, experimental data or comparable media. All records furnished by the contractor or grantee pursuant to terms of the contract or grant become the property of the Department and the provisions of these schedules apply to such records.

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1. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages **after they have been copied to an electronic record keeping system, paper, or microform for record keeping purposes.**

Delete from the e-mail system after copying to a record keeping system (GRS 20, item 14). Review the agency e-mail guidance for further instructions.

2. Longitudinal Studies.

a. Records of the National Longitudinal Study (NLS) of the High School Class of 1972.

Public use data files and documentation, 1972 - . Data from and about a sample of the 1972 high school graduating class and periodic follow-up data. Includes items from student records and information about test results, family background, education and work experience, postsecondary plans, etc. Follow-up surveys provide updates to base-year information and new information about postsecondary activities. Files also include information from high school counselors, postsecondary institutions, military personnel records and school census data.

Disposition: **PERMANENT.** Transfer each file to the National Archives upon creation of a public use file.

NARA Job No.
NI-441-93-2
Item 1

3. High School and Beyond Files.

Public use data files and documentation, 1980 - . Data from and about a sample of sophomore and senior high school students from the class of 1980 and periodic school students from the class of 1980 and periodic follow-up data. Includes information on backgrounds, education and

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work experience, postsecondary plans, test scores, etc. Follow-up surveys provide updates to base-year information and new information about postsecondary activities. Files also include information from high school and postsecondary transcripts, financial aid data and responses from school administrators, teachers, friends, parents and twins.

Disposition: **PERMANENT.** Transfer each file to the National Archives upon creation of a public use file.

NARA Job No.
NI-441-93-2
Item 2

4. **National Education Longitudinal Study Files: NELS 88.**

Public use data files and documentation, 1988 - . Data from and about the eighth-grade class of 1988. Includes information about academic performance, family background and socioeconomic factors, school and curriculum characteristics, etc. Follow-up files, including information about academic growth, school experience and environment and the dropping out process. The files include information from a series of student tests and responses to questionnaires by students, parents, teachers, and school administrators.

Disposition: **PERMANENT.** Transfer each file to the National Archives upon creation of a public use file.

NARA Job No.
NI-441-93-2
Item 3

5. **Postsecondary Education Files, Recent College Graduates.**

Public use data files and documentation, 1974-75 through 1985-86 (year of graduation). Restricted use data file of transcripts, 1985-86 (year of graduation) and documentation. Public use and restricted use data files and documentation. Public use and restricted use data files and documentation, 1989 - (year of graduation). Data from a national sample of bachelor's and master's degree recipients one year after graduation, with information on education and employment. A transcript file contains data about undergraduate courses, credits, grades and major field of study.

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	<p><u>Disposition:</u> PERMANENT. Transfer public use and restricted use data files and documentation to the National Archives upon official release of the file.</p>	NARA Job No. NI-441-95-3 Item 1
6.	<p>National Survey of Postsecondary Faculty.</p> <p>Restricted use and public use data files and documentation, 1987 - . Data from faculty, institutions and departmental chairs on issues such as faculty composition, turnover, recruitment, retention and tenure policies.</p> <p><u>Disposition:</u> PERMANENT. Transfer restricted use and available public use data files and documentation to the National Archives upon official release of the file.</p>	NARA Job No. NI-441-95-3 Item 2
7.	<p>National Postsecondary Student Aid Study (NPSAS).</p> <p>Public use and restricted use data files and documentation, 1986 - . Surveys of samples of all types of postsecondary institutions providing information on how student aid is targeted, received, and used. Data provided by institution registrar and financial aid records, parents, and students, both in-school and out-of-school components. Information includes data on loans, family finances, student characteristics, educational activities and employment history, and loan repayment and default.</p> <p><u>Disposition:</u> PERMANENT. Transfer public use and restricted use data files and documentation to the National Archives upon official release of the file.</p>	NARA Job No. NI-441-95-3 Item 3

POSTSECONDARY EDUCATION FILES

- 8. Opening Fall Enrollment.**
- Public use data files and documentation, 1967 - . Enrollment data, by sex, from part-time and full-time undergraduate, graduate, unclassified, first-

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	<p>professional degree students, and first-time freshmen for over 5,000 schools. Surveys in even years since 1976 contain racial/ethnic data by major field of study. Surveys in odd years since 1987 contain data by 11 age cohorts.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.</p>	<p>NARA Job No. NI-441-93-6 Item 1</p>
9.	Financial Statistics.	
	<p>Public use data files and documentation, 1965 - . Data about current fund revenues, by source; expenditures, by function; physical plant assets, by type and value; scholarship and fellowship expenditures; indebtedness on physical plant; endowment assets; and changes in fund balances for about 5,653 institutions.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.</p>	<p>NARA Job No. NI-441-93-6 Item 2</p>
10.	Residence and Migration.	
	<p>Public use data files and documentation, 1972 - . Data about first-time and new transfer student enrollment classifications, by residence status, home state and sex; approximately 4,582 institutions.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.</p>	<p>NARA Job No. NI-441-93-6 Item 3</p>
11.	Faculty Salaries.	
	<p>Public use data files and documentation, 1971 - . Data on salary, tenure, and fringe benefits of full-time instructional faculty, by sex, rank, length on contract, and type of institutional unit, for about 4,416 institutions.</p>	

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	<u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.	NARA Job No. NI-441-93-6 Item 4
12. Earned Degrees.	Public use data files and documentation, 1968 - . Data about bachelor's, master's, doctor's, and first-professional degrees received in major disciplines and subfields for approximately 5,000 institutions and data about degrees and certificates awarded for programs beyond high school of less than 4 years' duration, by sex. Files since 1976 contain racial/ethnic data within major disciplines. <u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.	NARA Job No. NI-441-93-6 Item 5
13. Institutional Characteristics.	Public use data files and documentation, 1969 - . Data about institution name, address, telephone, congressional district, type of control, level of offerings, type of programs, accreditation and previous year's enrollment, for 10,919 schools. <u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.	NARA Job No. NI-441-93-6 Item 6
14. College and University Libraries.	Public use data files and documentation, 1968 - . Data about resources, operating expenditures, salaries and wages, number of employees, library collections, library loan transactions and library services per typical week for about 4,300 college libraries. <u>Disposition:</u> PERMANENT. Transfer each file to the National Archives upon creation of a public use file.	NARA Job No. NI-441-93-6 Item 7

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LIBRARY FILES		
15. Public Library (LIBGIS).	<p>Data files and documentation, 1974 - . Sample of public libraries in the U.S., including name and location, area population, volume of holdings, circulation and loan figures, staffing positions and financial data.</p> <p><u>Disposition:</u> PERMANENT. Transfer to the National Archives when released.</p>	<p>NARA Job No. N1-441-93-8 Item 1</p>
16. Library Networks.	<p>Data files and documentation, 1985 - . Sample of library networks, including sponsorship, types of library participants, services, communications systems, areas served, staffing and funding information.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives when released.</p>	<p>NARA Job No. NI-441-93-8 Item 2</p>
17. Public and Private School Libraries and Media Centers.	<p>Data files and documentation, 1985 - . Sample of libraries affiliated with public and private schools, including information on library staff, expenditures, collections, services, usage, terminology and facilities.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives when released.</p>	<p>NARA Job No. N1-441-93-8 Item 3</p>

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18.	<p>Vocational and Adult Education Characteristics of Students in Non-Collegiate Postsecondary Schools.</p> <p>Data files and documentation, 1977 - . Sample of students, including age, sex, race/ethnicity, military status, previous vocational training plans, previous and current work experience, and future work plans.</p> <p><u>Disposition:</u> PERMANENT. Transfer each file to the National Archives when released.</p>	<p>NARA Job No. N1-441-93-9</p>
19.	<p>Schools and Staffing Surveys.</p> <p>Public use and restricted use data files and documentation, 1987 - . Several surveys containing data collected from public and private schools, school administrators and teachers. School data include information on enrollment, staffing, community type, school type, religious affiliation, length of school year and school day, minority students and teachers, support services, tuition, admission requirements, students graduated, experience and education of teachers, new and former teachers, and use of volunteers. Administrator data include information on demographic characteristics, education, experience and perception of school climate. Teacher data include information on assignment, certification, perceptions of school climate, teacher's job, teaching load, and salary.</p> <p><u>Disposition:</u> PERMANENT. Transfer public use and restricted use data files and documentation to the National Archives upon official release of the file.</p>	<p>NARA Job No. N1-441-95-1 Item 3</p>
20.	<p>National Household Education Surveys (NHES).</p> <p>Public use data files and documentation, 1991 - . Public use and restricted use data files and documentation, 1993 - . The Early Childhood Education component includes information obtained from parents or guardians on 3- to 8-year-old children about child care and early childhood program experiences, kindergarten and primary school entry, parent involvement in programs and schools, home educational</p>	

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	<p>environment and household and family characteristics. The Adult Education component contains information from adult education participants and non-participants about adult education courses or activities including course title and content, degree requirement fulfillment, sponsor, employer involvement, payment source, perceived benefits and barriers, and background characteristics of survey participants.</p> <p><u>Disposition:</u> PERMANENT. Transfer public use and restricted use data files and documentation to the National Archives upon official release of the file.</p>	<p>NARA Job No. N1-441-95-2 Item 1</p>
21.	National Assessment of Education Progress (NAEP)	
	<p>1. Public use data files and documentation, 1969 - . Data from periodic surveys of young Americans ages 9, 13, 17 and adults ages 26-35 about educational achievement in major learning areas.</p> <p><u>Disposition:</u> PERMANENT. Transfer to the National Archives upon creation of a public use file.</p>	<p>NARA Job No. N1-441-93-1 Item 1</p>
	<p>2. Microfiche respondent exercises, 1969 - . Booklets with questions and other exercises related to the learning area of a survey.</p>	<p>NARA Job No. N1-441-93-1 Item 2</p>